

COMMAND INSPECTION PROGRAM
EXCEPTIONS DOCUMENT

Command: San Luis Obispo	Division: Coastal	Chapter: HPG 5
Inspected by: Lt. C. Day		Date: 11/24/2009

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INSTRUCTIONS: This document shall be typed. Check appropriate boxes as necessary, or fill in the blanks as indicated. Enter the chapter number of the inspection in the Chapter Inspection number. Under "Forward to:" enter the next level of command where the document shall be routed to and its due date. This document shall be utilized to document innovative practices, suggestions for statewide improvement, identified deficiencies, corrective action plans. A CHP 51 Memorandum may be used if additional space is required.

TYPE OF INSPECTION <input type="checkbox"/> Division Level <input checked="" type="checkbox"/> Command Level <input type="checkbox"/> Executive Office Level		Total hours expended on the inspection: 2 hours	<input checked="" type="checkbox"/> Corrective Action Plan Included <input type="checkbox"/> Attachments Included
Follow-up Required: <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No	Forward to: Coastal Division		
Chapter Inspection:			
Inspector's Comments Regarding Innovative Practices:			

None

Command Suggestions for Statewide Improvement:

None

Inspector's Findings:

The Chapter 5 checklist from HPG 22.1 contained items that are out of date and no longer applicable. Checklist items such as stenographers, computer use, and manuals are out of date and no longer applicable. With the creation of HPM 22.1, fiscal controls (X numbers, petty cash and change fund, counter receipts, etc.) are now covered in more detail in the HPM.

Checklist issues and responses:

- 1.a.(2) and 1.a.(3): Stenographers: The San Luis Obispo does not employ stenographers and dictation is not used.
- 1.b.(4): OSS I: There is only one OSS I assigned to the San Luis Obispo Area.
- 2.c.(3): Performance appraisals: all performance appraisals were not completed on time.
- 3.a.(1): Criminal records: The Area uses the dispatch center to obtain criminal records. No office personnel have been designated to obtain criminal record information.
- 3.a.(1)(a): The dispatch center utilizes the 263B log.

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- 4.a.(3)(a): X numbers: The checklist asked if services over \$1000 are procured. This box was marked "yes" because the X number amount changed to \$4999 or less. X numbers related to facilities issues are all obtained from Facilities Section and X numbers for all other services are obtained from Coastal Division.
 - 4.a.(3)(c): Price quotes for X numbers: If bids are obtained from two DGS-certified small business then only two bids are required. This box was checked "no" on the checklist because the Area frequently obtains bids from DGS-certified small businesses and only obtains two bids.
 - 4.c.(3): Postage machine repairs: The Area has never encountered a postage machine failure requiring the refund of monies.

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Command: San Luis Obispo	Division: Coastal	Chapter: HPG 5
Inspected by: Lt. C. Day		Date: 11/24/2009

Commander's Response: ☒ Concur or ☐ Do Not Concur (Do Not Concur shall document basis for response)

All of the findings of the inspection are accurate.

Inspector's Comments: Shall address non concurrence by commander (e.g., findings revised, findings unchanged, etc.)

The office management for the San Luis Obispo Area was very organized. OSS I Tina Weller has an excellent grasp of departmental policies and procedures. Captain W. E. Vail is actively involved in office management, procurement, and fiscal controls.


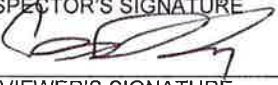
Required Action:

Corrective Action Plan/Timeline:

Annual performance appraisals: until recently the employee performance appraisals were not always completed in a timely manner. The following steps have been taken to remedy the problem:

- A performance appraisal database has been created to track performance appraisals.
- The Area suspense system is used to notify the lieutenant of needed performance appraisals.
- The lieutenant provides a list to all supervisors and managers of needed performance appraisals.
- The lieutenant follows up with all supervisors and managers to ensure the appraisals are completed.

Following the creation of this system nearly all performance appraisals have been completed and a system is now in place to ensure future appraisals are completed on time.

<input type="checkbox"/> Employee would like to discuss this report with the reviewer. (See HPM 9.1, Chapter 8 for appeal procedures.)	COMMANDER'S SIGNATURE 	DATE 12-29-09
	INSPECTOR'S SIGNATURE 	DATE 12-29-09
<input type="checkbox"/> Reviewer discussed this report with employee <input checked="" type="checkbox"/> Concur <input type="checkbox"/> Do not concur	REVIEWER'S SIGNATURE SBAN MGRAE	DATE 12/31/2009

AREA Conejo IF 771	DIVISION Coastal Division	NUMBER
EVALUATED BY R. Klucker, Sgt		DATE 11/24/2009

INSTRUCTIONS: Indicate items reviewed by placing a check in the "Evaluated" box and/or the "Action Required" box. If this form is used as a Correction Report, the "Correction" box should be initialed and dated as deficiencies are corrected. Answer individual items with "yes" or "no" answers, or fill in the blanks as indicated. If additional comments are necessary, the information can be placed on the CHP 454, Area Management Evaluation Supplement. The Supplement should include significant findings, accomplishments or corrective actions, unresolved items, problems or progress, and the evaluator's overall impressions. This form can be completed in pen or pencil, and the Supplement can be handwritten if desired.

TYPE OF EVALUATION <input type="checkbox"/> Formal Evaluation <input checked="" type="checkbox"/> Informal Evaluation		SUSPENSE DATE	
FOLLOW-UP REQUIRED <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No		COMMANDER'S REVIEW <i>[Signature]</i> SAs cor SC Munday, Lt	DATE 11-24-09
BY		EVALUATED Yes	ACTION REQUIRED No

1. CLERICAL TASKS

a. Is the office well organized?	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
(1) Are there written job descriptions?	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
(a) Does clerical staff have their job description at their desk?	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
(b) Does clerical staff understand what is expected of them?	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
(2) Are similar activities grouped together to promote efficiency?	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
(3) If tape recorders are used, can clerical employees transcribe effectively? <i>N/A</i>	<input type="checkbox"/> Yes <input type="checkbox"/> No
(4) Is the clerical staff knowledgeable in the use of personal computers, filing requirements, information security, etc.?	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
(5) Can another clerical employee assume the duties of a clerical employee who is absent? <i>N/A</i>	<input type="checkbox"/> Yes <input type="checkbox"/> No
b. Is the Office Services Supervisor (OSS) effective? <i>N/A ONLY 1 CLERICAL</i>	<input type="checkbox"/> Yes <input type="checkbox"/> No
(1) Does he/she properly apply management philosophies and supervisory skills?	<input type="checkbox"/> Yes <input type="checkbox"/> No
(a) Does he/she have the authority and backing necessary to effectively supervise subordinates?	<input type="checkbox"/> Yes <input type="checkbox"/> No
(b) Is the clerical supervisor an effective manager?	<input type="checkbox"/> Yes <input type="checkbox"/> No
(2) Does the OSS identify employees with supervisory potential?	<input type="checkbox"/> Yes <input type="checkbox"/> No
(a) Does he/she assist employees in the preparation of written plans for progressive career development?	<input type="checkbox"/> Yes <input type="checkbox"/> No
(b) Have special interests been identified and educational opportunities and/or departmental training been afforded the employees?	<input type="checkbox"/> Yes <input type="checkbox"/> No
(c) Has the CHP 120, Individual Development Plan for Future Job Performance of Permanent Employee, been used to identify particular strengths of the employees?	<input type="checkbox"/> Yes <input type="checkbox"/> No
(3) Does the supervisor set a good example?	<input type="checkbox"/> Yes <input type="checkbox"/> No
(a) Does he/she show a willingness to assist subordinate personnel?	<input type="checkbox"/> Yes <input type="checkbox"/> No
(b) Does he/she know when to act, when to delegate, and when to refer to a supervisor?	<input type="checkbox"/> Yes <input type="checkbox"/> No
(4) If there is more than one OSS, is the work and supervision evenly distributed?	<input type="checkbox"/> Yes <input type="checkbox"/> No
(5) Does the OSS participate in Area staff meetings? <i>OT DOES</i>	<input type="checkbox"/> Yes <input type="checkbox"/> No

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2. FILING SYSTEM

EVALUATED	ACTION REQUIRED	CORRECTED
Yes	No	

a. Is the Area's filing system in compliance with departmental guidelines contained in HPG 11.1, Field Office File Guide? ☒ Yes ☐ No

b. Are other files, i.e., permanent files, enforcement document files, etc., maintained according to policy? ☒ Yes ☐ No

(1) How far back are accident reports being maintained? Current year plus 4

(2) Is there a filing backlog? ☐ Yes ☒ No

(3) Is there evidence of recent office review? ☒ Yes ☐ No

(4) How are Management and All Commanders Memorandums filed and purged?

The OT is responsible for filing the documents in a binder and purging them in accordance with Departmental time frames

(5) Are Training and Information Bulletins filed? ☒ Yes ☐ No

(a) If so, how are they located? They are maintained in a binder in the command library

(6) Do all clerical employees understand the filing system? ☒ Yes ☐ No

(7) Does the Area have an effective suspense system? ☒ Yes ☐ No

(a) Do all supervisors take advantage of the suspense system? ☒ Yes ☐ No

c. Are personnel files properly secured and access limited? ☒ Yes ☐ No

(1) Are the requirements of the Information Practices Act being followed? ☒ Yes ☐ No

(2) Is a periodic review done on a regular basis? ☒ Yes ☐ No

(a) If so, how often? Annually by a supervisor

(3) Is annual employee review and updating conducted as required? ☒ Yes ☐ No

(4) Are only required or permitted items contained in personnel folders? ☒ Yes ☐ No

3. SECURITY OF CRIMINAL RECORDS

EVALUATED	ACTION REQUIRED	CORRECTED
Yes	No	

a. Have employees who have access to criminal offender record information signed an acknowledgment stating they understand the regulations and policies pertaining to these records? *VCC DOES THIS* ☐ Yes ☒ No

(1) Has the Area designated a specific person to release criminal offender record information? ☒ Yes ☐ No

(a) Do any other persons release this information? *ALL INFO RELEASED BY VCC* ☐ Yes ☒ No

(b) Has the designated person completed the required training? ☐ Yes ☒ No

(c) Are safeguards in place to verify telephone inquiries prior to disclosure? ☒ Yes ☐ No

(2) Does each person that is designated to release information maintain a CHP 263B, Criminal Offender Record Information Release Log? ☒ Yes ☐ No

(a) Are entries maintained for the prescribed period of time? ☒ Yes ☐ No

4. FISCAL PROCEDURES

EVALUATED	ACTION REQUIRED	CORRECTED
Yes	No	

a. Have discrepancies on the most current audit reports been corrected? ☒ Yes ☐ No

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(1) Are all change fund and collections handled and processed according to policy?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(a) Are counter receipts and DL45s, California Special Driver's Certificate, issued to the field accounted for and safeguarded?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(b) Are "voided" or "no fee" DL45s marked as such, signed by the commander, and forwarded to Fiscal Management Section?	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No
AREA DOES NOT DO DL 45'S		
(c) Is there a separation of duties between cashier responsibilities and transmittal of collections?	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No
(d) Are collections and change funds safeguarded?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(e) Are checks promptly endorsed and cash receipts reconciled daily?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(f) Are counter receipts and DL45s that are issued in sequence accounted for and returned to Fiscal Management Section upon completion?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(g) What specific guidelines are in place for security control and accountability?		
Collections and funds are locked and secured overnight and only trained personnel handle this duty		
(h) Is a supervisor responsible for review of the system?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(i) Do total collections agree with the total amount of counter receipts and DL45s issued?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(j) Are counter receipts and transmittal records prepared properly?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(k) Are surprise counts of funds performed and documented by the commander or designee?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(2) Are security and accountability procedures in place for the petty cash fund?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(a) Is the petty cash fund used only for authorized purchases within the limited amount?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(b) Are valid authorizations on file?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(c) Is a Disbursement Voucher (Std. 439) completed and signed by the commander when the receipt does not show the vendor name or item purchased?	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No
(d) Are there adequate procedures to ensure purchases are properly authorized?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(e) Are surprise counts performed by someone not involved in handling the petty cash fund?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(3) Are X-Number services proper and within departmental and state policy?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(a) Are services procured over \$4,999.99?	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No
(b) Is the amount limit circumvented by splitting procurements?	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No
(c) Are three price quotations obtained and documented on a CHP 78X, X-Number Request?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(d) Do invoices itemize charges and reference X-Numbers?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(4) Are bank cards adequately safeguarded, and purchases reviewed by a supervisor?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(a) Are cardholders familiar with the bank card process, including prohibited and restricted items?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(b) Are purchases within established policy?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(c) Are three price quotations obtained and documented on a CHP 315X?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(d) Is the bank card log completed properly?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No

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(e) Are invoices and CHP 317, CAL-Card Log, reviewed by a supervisor? ☒ Yes ☐ No

(f) Is there a reconciliation of the monthly bank card statement, and does it have supervisory approval? ☒ Yes ☐ No

b. What controls does the commander have in place to ensure timely transmittals of monies?

Transmittals are in the weekly suspense file.

(1) Are collections sent to Fiscal Management Section at the first occurrence of \$1,000 in cash and \$10,000 total collections, or at the close of business each Thursday? ☒ Yes ☐ No

(2) Are monies received for DL45s, California Special Driver's Certificate, asset forfeiture, reimbursables, evidence, etc., handled appropriately by coordinating transmittal with the Area cashier? ☒ Yes ☐ No

(3) Are "no collection" transmittals sent when appropriate? ☒ Yes ☐ No

(4) Do tire sale transactions comply with policy? ☒ Yes ☐ No

c. Is security of the postage machine adequate? ☒ Yes ☐ No

(1) Is the machine locked when not in use? ☒ Yes ☐ No

(2) Is the meter reading documented as required? ☒ Yes ☐ No

(3) Is there documentation of monies refunded or forwarded to Fiscal Management Section when the postage machine is being repaired or replaced? ☒ Yes ☐ No

5. SUPPLY REQUISITIONS (CHP 41)

EVALUATED
Yes

ACTION REQUIRED
No

CORRECTED

a. Are requisitions prepared properly? ☒ Yes ☐ No

(1) Who prepares them? Office Tech

(2) Has a practical stock level been established and maintained? ☒ Yes ☐ No

(3) Is there a system that notifies the staff when the quarterly requisition is going to be prepared? ☒ Yes ☐ No

(a) Is the quarterly requisition period for this command adhered to? ☒ Yes ☐ No

(b) Is there a high number of emergency requisitions? ☐ Yes ☒ No

b. Are items stored properly in a storeroom? ☒ Yes ☐ No

(1) Is there convenient access for regularly used items? ☒ Yes ☐ No

(2) Have obsolete items been removed? ☒ Yes ☐ No

6. SUPPLIES

EVALUATED
Yes

ACTION REQUIRED
No

CORRECTED

a. Are all cameras assigned to the command accounted for? ☒ Yes ☐ No

(1) Are camera cases clean and do they contain the required accessories? ☒ Yes ☐ No

(2) Is camera maintenance assigned to a particular individual? ☒ Yes ☐ No

(a) What is his/her preventative maintenance schedule? cameras are checked annually at inventory time.

b. Are all extenders assigned to the command accounted for? ☒ Yes ☐ No

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(1) Is there adequate security for extender batteries and other supplies?

☒ Yes ☐ No

7. OFFICE EQUIPMENT

EVALUATED
Yes

ACTION REQUIRED
No

CORRECTED

a. Are office machines in good condition and properly maintained?

☒ Yes ☐ No

(1) Is the vendor complying with maintenance contract provisions?

☒ Yes ☐ No

(2) Is there a shortage or surplus of machines?

☐ Yes ☒ No

b. Is the Management Information System (MIS) used properly?

☒ Yes ☐ No

(1) Who is authorized to use the equipment? Management & Clerical

(2) How is training provided, and by whom? Area has a certified instructor to conduct annual and new hire training.

(3) Is there a usage schedule for uniformed and nonuniformed personnel?

☐ Yes ☒ No

(4) Are there controls in place to ensure confidentiality?

☒ Yes ☐ No

(5) Are all personnel aware of how to request repairs after normal business hours?

☒ Yes ☐ No

(6) Is the MIS used to send messages to other offices in lieu of formal memorandums?

☒ Yes ☐ No

(7) What system is used to ensure proper routing of MIS information?

c. Are personal computers used properly?

☒ Yes ☐ No

(1) Who is authorized to use the equipment? All Personnel

(2) How is training provided, and by whom? Area and Division LAN personnel are available for training as needed

(a) How many employees are trained in its use? All Personnel

(3) Are there restrictions on the time its used?

☐ Yes ☒ No

(a) Is there a schedule for uniformed and nonuniformed employees?

☐ Yes ☒ No

(4) Is confidential or sensitive information being stored on a PC hard drive?

☒ Yes ☐ No

(a) If so, is the PC password protected?

☒ Yes ☐ No

(b) Is confidential or sensitive information stored on disks, CDs, or removable drives kept in a secure area?

☒ Yes ☐ No

(5) What is the PC being used for? To perform all Departmental functions/tasks

(6) Are controls present to prevent inappropriate/personal use of the computer?

☒ Yes ☐ No

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(7) Are backup procedures being performed on a regular basis? ☒ Yes ☐ No

(a) Where applicable, are backup disks stored in a secure area? ☒ Yes ☐ No

(8) Are PC manuals and other documentation available to all users? ☒ Yes ☐ No

(9) What procedures are in place to ensure out-of-date documents and files are purged?

Files are routinely reviewed and purged. All personnel are reminded to review their files and delete old files as needed.

(10) Are employees aware of the availability of assistance in resolving computer related problems? ☒ Yes ☐ No

(11) Is anti-virus software regularly utilized on all state-owned PCs? ☒ Yes ☐ No

8. PUBLIC CONTACTS

EVALUATED

Yes

ACTION REQUIRED

No

CORRECTED

a. Does the office have extended office hours? ☒ Yes ☐ No

(1) If so, are they adequate and effective? ☒ Yes ☐ No

b. Are persons served promptly and courteously? ☒ Yes ☐ No

(1) Are backup personnel immediately available? ☒ Yes ☐ No

(2) Is telephone service both efficient and effective? ☒ Yes ☐ No

(3) Are limited duty personnel used for receptionist duties and answering telephones? ☒ Yes ☐ No

(4) Are officer substitutions for nonuniformed positions kept at a minimum? ☒ Yes ☐ No

9. SCHOOL BUS DRIVER EXAMINATIONS

EVALUATED

No N/A

ACTION REQUIRED

CORRECTED

a. Is school bus driver testing a special duty or a clerical function, or is a full-time school bus coordinator assigned?

(1) Are tests and test keys kept in a secure place? ☐ Yes ☐ No

(2) How are interested parties advised of testing procedures?

(a) Are exams graded in the presence of the applicant, and missed questions discussed? ☐ Yes ☐ No

(b) Does the officer or coordinator take possession of the test and dispose of accordingly? ☐ Yes ☐ No

(3) How are test disposed of?

(4) Is there a specific date and time set aside for testing? ☐ Yes ☐ No

10. COURT INFORMATION PROCEDURES

EVALUATED

Yes

ACTION REQUIRED

No

CORRECTED

a. Is there a systematic method of coordinating court appearance matters? ☒ Yes ☐ No

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(1) What controls are in place to ensure officers appear in court?

Officer & Sgt sign each subpoena, court info is logged on area schedule, subpoena is put in suspense. Sgt does monthly audit of subpoenae to insure attendance.

(a) How are appearances minimized following cancellations?

Officers are notified ASAP during business hours.

(b) How are "short notice" cancellations minimized?

Officers are notified ASAP during business hours.

(2) Are CHP 90s, Report of Court Appearance - Civil Action, properly distributed and completed on all appropriate cases?

☒ Yes ☐ No

(3) Who is responsible for managing the process? The Sgt and the OT work together to track manage the CHP 90 process

(a) Are court officers performing duties that could be handled by clerical personnel?

☐ Yes ☒ No
11. DEPARTMENTAL MANUALS

EVALUATED	ACTION REQUIRED	CORRECTED
Yes	No	

a. Are the number of authorized libraries being maintained?

☒ Yes ☐ No

(1) Are the libraries convenient for those who must use them?

☒ Yes ☐ No

(a) What controls are in place for "loaning" manuals to employees? manuals are not to leave the facility. Employees are encouraged to use the on-line manuals.

(2) Are publications distinctively marked so they can be readily identified?

☒ Yes ☐ No

(a) Are the number of libraries excessive or sufficient? Sufficient with 2

(b) Is there a listing available of what should be in each library?

☒ Yes ☐ No

(3) Are publications kept up-to-date?

☒ Yes ☐ No

(4) Who files publication changes? The Office Tech or limited duty personnel.

AREA Buellton	DIVISION Coastal	NUMBER 755
EVALUATED BY Lt. M. Maples/OA P. Cota/Sgt. T. Mullen		DATE 12/02/2009

INSTRUCTIONS: Indicate items reviewed by placing a check in the "Evaluated" box and/or the "Action Required" box. If this form is used as a Correction Report, the "Correction" box should be initialed and dated as deficiencies are corrected. Answer individual items with "yes" or "no" answers, or fill in the blanks as indicated. If additional comments are necessary, the information can be placed on the CHP 454, Area Management Evaluation Supplement. The Supplement should include significant findings, accomplishments or corrective actions, unresolved items, problems or progress, and the evaluator's overall impressions. This form can be completed in pen or pencil, and the Supplement can be handwritten if desired.

TYPE OF EVALUATION <input checked="" type="checkbox"/> Formal Evaluation <input type="checkbox"/> Informal Evaluation		SUSPENSE DATE 12/31/2010	
FOLLOW-UP REQUIRED <input checked="" type="checkbox"/> Yes <input type="checkbox"/> No		<input type="checkbox"/> Correction Report BY _____	COMMANDER'S REVIEW Lt. Marty Maples
			DATE 12/10/2009

1. CLERICAL TASKS

EVALUATED 12/02/2009	ACTION REQUIRED yes	CORRECTED no
a. Is the office well organized? <input checked="" type="checkbox"/> Yes <input type="checkbox"/> No		
(1) Are there written job descriptions? <input checked="" type="checkbox"/> Yes <input type="checkbox"/> No		
(a) Does clerical staff have their job description at their desk? <input checked="" type="checkbox"/> Yes <input type="checkbox"/> No		
(b) Does clerical staff understand what is expected of them? <input checked="" type="checkbox"/> Yes <input type="checkbox"/> No		
(2) Are similar activities grouped together to promote efficiency? <input checked="" type="checkbox"/> Yes <input type="checkbox"/> No		
(3) If tape recorders are used, can clerical employees transcribe effectively? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No		
(4) Is the clerical staff knowledgeable in the use of personal computers, filing requirements, information security, etc.? <input checked="" type="checkbox"/> Yes <input type="checkbox"/> No		
(5) Can another clerical employee assume the duties of a clerical employee who is absent? <input checked="" type="checkbox"/> Yes <input type="checkbox"/> No		
b. Is the Office Services Supervisor (OSS) effective? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No		
(1) Does he/she properly apply management philosophies and supervisory skills? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No		
(a) Does he/she have the authority and backing necessary to effectively supervise subordinates? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No		
(b) Is the clerical supervisor an effective manager? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No		
(2) Does the OSS identify employees with supervisory potential? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No		
(a) Does he/she assist employees in the preparation of written plans for progressive career development? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No		
(b) Have special interests been identified and educational opportunities and/or departmental training been afforded the employees? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No		
(c) Has the CHP 120, Individual Development Plan for Future Job Performance of Permanent Employee, been used to identify particular strengths of the employees? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No		
(3) Does the supervisor set a good example? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No		
(a) Does he/she show a willingness to assist subordinate personnel? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No		
(b) Does he/she know when to act, when to delegate, and when to refer to a supervisor? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No		
(4) If there is more than one OSS, is the work and supervision evenly distributed? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No		
(5) Does the OSS participate in Area staff meetings? <input checked="" type="checkbox"/> Yes <input type="checkbox"/> No		

AREA MANAGEMENT EVALUATION**OFFICE MANAGEMENT**

CHP 453E (Rev. 5-06) OPI 009

2. FILING SYSTEM	EVALUATED 12/02/2009	ACTION REQUIRED no	CORRECTED
a. Is the Area's filing system in compliance with departmental guidelines contained in HPG 11.1, Field Office File Guide?			<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
b. Are other files, i.e., permanent files, enforcement document files, etc., maintained according to policy?			<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
(1) How far back are accident reports being maintained? 3 years + current year			
(2) Is there a filing backlog?			<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No
(3) Is there evidence of recent office review?			<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No
(4) How are Management and All Commanders Memorandums filed and purged? filed per HPM 11.1 and purged annually.			
(5) Are Training and Information Bulletins filed?			<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
(a) If so, how are they located? filed/maintained in command library.			
(6) Do all clerical employees understand the filing system?			<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
(7) Does the Area have an effective suspense system?			<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
(a) Do all supervisors take advantage of the suspense system?			<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
c. Are personnel files properly secured and access limited?			<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
(1) Are the requirements of the Information Practices Act being followed?			<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
(2) Is a periodic review done on a regular basis?			<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
(a) If so, how often? monthly			
(3) Is annual employee review and updating conducted as required?			<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
(4) Are only required or permitted items contained in personnel folders?			<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
3. SECURITY OF CRIMINAL RECORDS	EVALUATED 12/02/2009	ACTION REQUIRED no	CORRECTED
a. Have employees who have access to criminal offender record information signed an acknowledgment stating they understand the regulations and policies pertaining to these records?			<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
(1) Has the Area designated a specific person to release criminal offender record information?			<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
(a) Do any other persons release this information?			<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No
(b) Has the designated person completed the required training?			<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
(c) Are safeguards in place to verify telephone inquiries prior to disclosure?			<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
(2) Does each person that is designated to release information maintain a CHP 263B, Criminal Offender Record Information Release Log?			<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
(a) Are entries maintained for the prescribed period of time?			<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
4. FISCAL PROCEDURES	EVALUATED 12/02/2009	ACTION REQUIRED yes	CORRECTED
a. Have discrepancies on the most current audit reports been corrected?			<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No

AREA MANAGEMENT EVALUATION**OFFICE MANAGEMENT**

CHP 453E (Rev. 5-06) OPI 009

(1) Are all change fund and collections handled and processed according to policy?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(a) Are counter receipts and DL45s, California Special Driver's Certificate, issued to the field accounted for and safeguarded?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(b) Are "voided" or "no fee" DL45s marked as such, signed by the commander, and forwarded to Fiscal Management Section?	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No
(c) Is there a separation of duties between cashier responsibilities and transmittal of collections?	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No
(d) Are collections and change funds safeguarded?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(e) Are checks promptly endorsed and cash receipts reconciled daily?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(f) Are counter receipts and DL45s that are issued in sequence accounted for and returned to Fiscal Management Section upon completion?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(g) What specific guidelines are in place for security control and accountability? quarterly audits/counter receipts are locked in secure location.		
(h) Is a supervisor responsible for review of the system?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(i) Do total collections agree with the total amount of counter receipts and DL45s issued?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(j) Are counter receipts and transmittal records prepared properly?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(k) Are surprise counts of funds performed and documented by the commander or designee?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(2) Are security and accountability procedures in place for the petty cash fund?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(a) Is the petty cash fund used only for authorized purchases within the limited amount?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(b) Are valid authorizations on file?	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No
(c) Is a Disbursement Voucher (Std. 439) completed and signed by the commander when the receipt does not show the vendor name or item purchased?	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No
(d) Are there adequate procedures to ensure purchases are properly authorized?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(e) Are surprise counts performed by someone not involved in handling the petty cash fund?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(3) Are X-Number services proper and within departmental and state policy?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(a) Are services procured over \$4,999.99?	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No
(b) Is the amount limit circumvented by splitting procurements?	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No
(c) Are three price quotations obtained and documented on a CHP 78X, X-Number Request?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(d) Do invoices itemize charges and reference X-Numbers?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(4) Are bank cards adequately safeguarded, and purchases reviewed by a supervisor?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(a) Are cardholders familiar with the bank card process, including prohibited and restricted items?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(b) Are purchases within established policy?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(c) Are three price quotations obtained and documented on a CHP 315X?	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No
(d) Is the bank card log completed properly?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No

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AREA MANAGEMENT EVALUATION
OFFICE MANAGEMENT
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(e) Are invoices and CHP 317, CAL-Card Log, reviewed by a supervisor? ☒ Yes ☐ No

(f) Is there a reconciliation of the monthly bank card statement, and does it have supervisory approval? ☒ Yes ☐ No

b. What controls does the commander have in place to ensure timely transmittals of monies? none

(1) Are collections sent to Fiscal Management Section at the first occurrence of \$1,000 in cash and \$10,000 total collections, or at the close of business each Thursday? ☒ Yes ☐ No

(2) Are monies received for DL45s, California Special Driver's Certificate, asset forfeiture, reimbursables, evidence, etc., handled appropriately by coordinating transmittal with the Area cashier? ☒ Yes ☐ No

(3) Are "no collection" transmittals sent when appropriate? ☒ Yes ☐ No

(4) Do tire sale transactions comply with policy? ☒ Yes ☐ No

c. Is security of the postage machine adequate? ☒ Yes ☐ No

(1) Is the machine locked when not in use? ☐ Yes ☒ No

(2) Is the meter reading documented as required? ☒ Yes ☐ No

(3) Is there documentation of monies refunded or forwarded to Fiscal Management Section when the postage machine is being repaired or replaced? ☐ Yes ☒ No

5. SUPPLY REQUISITIONS (CHP 41)

EVALUATED
12/02/2009

ACTION REQUIRED
no

CORRECTED

a. Are requisitions prepared properly? ☒ Yes ☐ No

(1) Who prepares them? OA

(2) Has a practical stock level been established and maintained? ☒ Yes ☐ No

(3) Is there a system that notifies the staff when the quarterly requisition is going to be prepared? ☒ Yes ☐ No

(a) Is the quarterly requisition period for this command adhered to? ☒ Yes ☐ No

(b) Is there a high number of emergency requisitions? ☒ Yes ☐ No

b. Are items stored properly in a storeroom? ☒ Yes ☐ No

(1) Is there convenient access for regularly used items? ☒ Yes ☐ No

(2) Have obsolete items been removed? ☒ Yes ☐ No

6. SUPPLIES

EVALUATED
12/02/2009

ACTION REQUIRED
no

CORRECTED

a. Are all cameras assigned to the command accounted for? ☒ Yes ☐ No

(1) Are camera cases clean and do they contain the required accessories? ☒ Yes ☐ No

(2) Is camera maintenance assigned to a particular individual? ☒ Yes ☐ No

(a) What is his/her preventative maintenance schedule? no specific maintenance schedule/equipment is repaired as needed.

b. Are all extenders assigned to the command accounted for? ☒ Yes ☐ No

Department of California Highway Patrol
AREA MANAGEMENT EVALUATION
 Chapter 5
 OFFICE MANAGEMENT

Area
 San Luis
 Obispo

Division
 Coastal

Number
 745

Evaluated By Lt. C. Day

Date 11/24/09

INSTRUCTIONS: Indicate items reviewed by placing a check in the "Evaluated" box and/or the "Action Required" box. If this form is used as a Correction Report, the "Correction" box should be initialed and dated as deficiencies are corrected. Answer individual items with "yes" or "no" answers, or fill in the blanks as indicated. If additional comments are necessary, the information can be placed in the Summary Statement. The Summary Statement should include significant findings, accomplishments or corrective actions, unresolved items, problems or progress, and the evaluator's overall impressions. This form can be completed in pen or pencil, and the Summary can be handwritten if desired.

Type of Evaluation

☐ Formal

☒ Informal

Suspense Date

Follow-up Required
☒ Yes ☐ No

☒ Correction Report
 by _____

Commander's Review

Date



12-29-09

1. CLERICAL TASKS

Evaluated
☒

Action Required
☐

Corrected
☐

a. Is the office well-organized?

☒ Yes ☐ No

(1) Are there written job descriptions?

☒ Yes ☐ No

(a) Does clerical staff have their job description at their desk?

☒ Yes ☐ No

(b) Does clerical staff understand what is expected of them?

☒ Yes ☐ No

(2) Are similar activities grouped together to promote efficiency?

☒ Yes ☐ No

(3) Are stenographers available for dictation?

☐ Yes ☒ No

(a) Are supervisors or special duty officers trained to give dictation?

☐ Yes ☒ No

(4) If tape recorders are used, can clerical employees transcribe effectively?

☒ Yes ☐ No

(5) Is the clerical staff knowledgeable in the use of personal computers, filing requirements, information security, etc.?

☒ Yes ☐ No

b. Is the Office Services Supervisor (OSS) effective?

☒ Yes ☐ No

(1) Does he/she properly apply management philosophies and supervisory skills?

☒ Yes ☐ No

(a) Does he/she have the authority and backing necessary to effectively supervise subordinates?

☒ Yes ☐ No

(b) Is the clerical supervisor an effective manager?

☒ Yes ☐ No

(2) Does the OSS identify employees with supervisory potential?

☒ Yes ☐ No

(a) Does he/she assist employees in the preparation of written plans for progressive career development?

☒ Yes ☐ No

(b) Have special interests been identified and educational opportunities and/or departmental training been afforded the employees?

☒ Yes ☐ No

(1) What controls are in place to ensure officers appear in court? Continuous monitoring by court officer and quarterly audit by assigned supervisor.

(a) How are appearances minimized following cancellations? Employees are immediately notified of cancellations by telephone. Notifications of cancellations are then logged.

(b) How are "short notice" cancellations minimized? Same as above. Court is aware of CHP policy.

(2) Are CHP 90s, Report of Court Appearance - Civil Action, properly distributed and completed on all appropriate cases? ☒ Yes ☐ No

(3) Who is responsible for managing the process? Court officer and assigned supervisor.

(a) Are court officers performing duties that could be handled by clerical personnel? ☒ Yes ☐ No

11. DEPARTMENTAL MANUALS

EVALUATED
12/02/2009

ACTION REQUIRED
no

CORRECTED

a. Are the number of authorized libraries being maintained? ☒ Yes ☐ No

(1) Are the libraries convenient for those who must use them? ☒ Yes ☐ No

(a) What controls are in place for "loaning" manuals to employees? None

(2) Are publications distinctively marked so they can be readily identified? ☒ Yes ☐ No

(a) Are the number of libraries excessive or sufficient? Sufficient

(b) Is there a listing available of what should be in each library? ☒ Yes ☐ No

(3) Are publications kept up-to-date? ☒ Yes ☐ No

(4) Who files publication changes? OA and OSSI

AREA MANAGEMENT EVALUATION

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OFFICE MANAGEMENT

(c) Has the CHP 118A been used to identify particular strengths of the employees?

☒ Yes ☐ No

(3) Does the supervisor set a good example?

☒ Yes ☐ No

(a) Does he/she show a willingness to assist subordinate personnel?

☒ Yes ☐ No

(b) Does he/she know when to act, when to delegate, and when to refer to a supervisor?

☒ Yes ☐ No

(4) If there is more than one OSS, is the work and supervision evenly distributed?

☐ Yes ☒ No

(5) Does the OSS participate in Area staff meetings?

☒ Yes ☐ No

2. FILING SYSTEM

Evaluated

☒

Action Required

☒

Corrected

☐

a. Is the Area's filing system in compliance with departmental guidelines contained in HPG 11.1?

☒ Yes ☐ No

b. Are other files, i.e., permanent files, enforcement document files, etc., maintained according to policy?

☒ Yes ☐ No

(1) How far back are accident reports being maintained? Current plus three years

(2) Is there a filing backlog?

☐ Yes ☒ No

(3) Is there evidence of recent office review?

☒ Yes ☐ No

(4) How are Management and All Commanders Memorandums filed and purged? Filed according to date. They are purged every

four years when the administrative files are purged.

(5) Are Training and Information Bulletins filed?

☒ Yes ☐ No

(a) If so, how are they located? Filed in a binder behind the OSS I desk.

(6) Do all clerical employees understand the filing system?

☒ Yes ☐ No

(7) Does the Area have an effective suspense system?

☒ Yes ☐ No

(a) Do all supervisors take advantage of the suspense system?

☒ Yes ☐ No

c. Are personnel files properly secured and access limited?

☒ Yes ☐ No

(1) Are the requirements of the Information Practices Act being followed?

☒ Yes ☐ No

(2) Is a periodic review done on a regular basis?

☒ Yes ☐ No

(a) If so, how often? Quarterly by OSS I

(3) Is annual employee review and updating conducted as required?

☐ Yes ☒ No

(4) Are only required or permitted items contained in personnel folders?

☒ Yes ☐ No

AREA MANAGEMENT EVALUATION

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OFFICE MANAGEMENT

3. SECURITY OF CRIMINAL RECORDS	Evaluated <input checked="" type="checkbox"/>	Action Required <input type="checkbox"/>	Corrected <input type="checkbox"/>
a. Have employees who have access to criminal offender record information signed an acknowledgement stating they understand the regulations and policies pertaining to these records?			<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
(1) Has the Area designated a specific person to release criminal offender record information?			<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
(a) Do any other persons release this information?			<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
(b) Has the designated person completed the required training?			<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
(c) Are safeguards in place to verify telephone inquiries prior to disclosure?			<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
(2) Does each person designated to release information maintain a CHP 263B log?			<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
(a) Are entries maintained for the prescribed period of time?			<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
4. FISCAL PROCEDURES	Evaluated <input checked="" type="checkbox"/>	Action Required <input type="checkbox"/>	Corrected <input type="checkbox"/>
a. Have discrepancies on the most current audit reports been corrected?			<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No
(1) Are all change fund and collections handled and processed according to policy?			<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
(a) Are counter receipts and DL45s issued to the field accounted for and safeguarded?			<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
(b) Are "voided" or "no fee" DL45s marked as such, signed by the commander, and forwarded to Accounting Section?			<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
(c) Is there a separation of duties between cashier responsibilities and transmittal of collections?			<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
(d) Are collections and change funds safeguarded?			<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
(e) Are checks promptly endorsed and cash receipts reconciled daily?			<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
(f) Are counter receipts and DL45s that are issued in sequence accounted for and returned to Accounting Section upon completion?			<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
(g) What specific guidelines are in place for security control and accountability? Petty cash is kept locked and secured in			
filing cabinet with only access to the OSS I. Change fund is kept locked in a drawer at the front counter with access to			
all office personnel during business hours and locked after hours.			
(h) Is a supervisor responsible for review of the system?			<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
(i) Do total collections agree with the total amount of counter receipts and DL45s issued?			<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
(j) Are counter receipts and transmittal records prepared properly?			<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
(k) Are surprise counts of funds performed and documented by the commander or designee?			<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No

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(2) Are security and accountability procedures in place for the petty cash fund?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(a) Is the petty cash fund used only for authorized purchases within the limited amount?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(b) Are valid authorizations on file?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(c) Is a Disbursement Voucher (Std. 439) completed and signed by the commander when the receipt does not show the vendor name or item purchased?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(d) Are there adequate procedures to ensure purchases are properly authorized?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(e) Are surprise counts performed by someone not involved in handling the petty cash fund?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(3) Are X-Number services proper and within departmental and state policy?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(a) Are services procured over \$1,000?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(b) Is the amount limit circumvented by splitting procurements?	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No
(c) Are three price quotations obtained and documented on a CHP 78X?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(d) Do invoices itemize charges and reference X-Numbers?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(4) Are bank cards adequately safeguarded, and purchases reviewed by a supervisor?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(a) Are cardholders familiar with the bank card process, including prohibited and restricted items?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(b) Are purchases within established policy?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(c) Are three price quotations obtained and documented on a CHP 315X?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(d) Is the bank card log completed properly?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(e) Are invoices and CHP 315Xs reviewed by a supervisor?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(f) Is there a reconciliation of the monthly bank card statement, and does it have supervisory approval?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
b. What controls does the commander have in place to ensure the timely transmittals of monies is being made? The transmittal is completed weekly, signed by the commander, and submitted to FMS.		
(1) Are collections sent to Accounting Section at the first occurrence of \$200 (or \$500) in cash and \$5,000 total collections, or at the close of business each Thursday?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(2) Are monies received for DL45s, asset forfeiture, reimbursables, evidence, etc., handled appropriately by coordinating transmittal with the Area cashier?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No

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CHP 453E (Rev. 5-06) OPI 009

(1) Is there adequate security for extender batteries and other supplies?			<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
7. OFFICE EQUIPMENT	EVALUATED 12/02/2009	ACTION REQUIRED yes	CORRECTED	
a. Are office machines in good condition and properly maintained?			<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(1) Is the vendor complying with maintenance contract provisions?			<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(2) Is there a shortage or surplus of machines?			<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No
b. Is the Management Information System (MIS) used properly?			<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(1) Who is authorized to use the equipment? OSSI and OA				
(2) How is training provided, and by whom? Vender and Division personnel.				
(3) Is there a usage schedule for uniformed and nonuniformed personnel?			<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No
(4) Are there controls in place to ensure confidentiality?			<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No
(5) Are all personnel aware of how to request repairs after normal business hours?			<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No
(6) Is the MIS used to send messages to other offices in lieu of formal memorandums?			<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No
(7) What system is used to ensure proper routing of MIS information? OA discretion.				
c. Are personal computers used properly?			<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(1) Who is authorized to use the equipment? Assigned employees.				
(2) How is training provided, and by whom? One on one and at briefings by LAN Coordinator.				
(a) How many employees are trained in its use? All except custodian.				
(3) Are there restrictions on the time its used?			<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No
(a) Is there a schedule for uniformed and nonuniformed employees?			<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No
(4) Is confidential or sensitive information being stored on a PC hard drive?			<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No
(a) If so, is the PC password protected?			<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(b) Is confidential or sensitive information stored on disks, CDs, or removable drives kept in a secure area?			<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(5) What is the PC being used for? Work related use only.				
(6) Are controls present to prevent inappropriate/personal use of the computer?			<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No

(7) Are backup procedures being performed on a regular basis?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(a) Where applicable, are backup disks stored in a secure area?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(8) Are PC manuals and other documentation available to all users?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(9) What procedures are in place to ensure out-of-date documents and files are purged?	None	

(10) Are employees aware of the availability of assistance in resolving computer related problems?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(11) Is anti-virus software regularly utilized on all state-owned PCs?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No

8. PUBLIC CONTACTS	EVALUATED 12/02/2009	ACTION REQUIRED no	CORRECTED
a. Does the office have extended office hours?	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No	
(1) If so, are they adequate and effective?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	
b. Are persons served promptly and courteously?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	
(1) Are backup personnel immediately available?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	
(2) Is telephone service both efficient and effective?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	
(3) Are limited duty personnel used for receptionist duties and answering telephones?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	
(4) Are officer substitutions for nonuniformed positions kept at a minimum?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	

9. SCHOOL BUS DRIVER EXAMINATIONS	EVALUATED 12/02/2009	ACTION REQUIRED no	CORRECTED
a. Is school bus driver testing a special duty or a clerical function, or is a full-time school bus coordinator assigned?	Assigned as a collateral duty responsibility to a road patrol officer.		
(1) Are tests and test keys kept in a secure place?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	
(2) How are interested parties advised of testing procedures?	By the assigned coordinator.		
(a) Are exams graded in the presence of the applicant, and missed questions discussed?	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No	
(b) Does the officer or coordinator take possession of the test and dispose of accordingly?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	
(3) How are test disposed of?	Office paper shredder.		
(4) Is there a specific date and time set aside for testing?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	

10. COURT INFORMATION PROCEDURES	EVALUATED 12/02/2009	ACTION REQUIRED no	CORRECTED
a. Is there a systematic method of coordinating court appearance matters?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	

AREA MANAGEMENT EVALUATION

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OFFICE MANAGEMENT

(3) Are "no collection" transmittals sent when appropriate?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	
(4) Do tire sale transactions comply with policy?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	
c. Is security of the postage machine adequate?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	
(1) Is the machine locked when not in use?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	
(2) Is the meter reading documented as required?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	
(3) Is there documentation of monies refunded or forwarded to Accounting Section when the postage machine is being repaired or replaced?	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No	
5. REQUISITIONS	Evaluated <input checked="" type="checkbox"/>	Action Required <input type="checkbox"/>	Corrected <input type="checkbox"/>
a. Are requisitions prepared properly?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	
(1) Who prepares them? Oss I and WPT (Tina Weller and Jessica Barrett)			
(2) Has a practical stock level been established and maintained?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	
(3) Is there a system that notifies the staff when the quarterly requisition is going to be prepared?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	
(a) Is the quarterly requisition period for this command adhered to?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	
(b) Is there a high number of emergency requisitions?	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No	
(4) Are inventory card files utilized?	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No	
(5) Are the two required inventory listings (CHP and DGS) utilized?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	
(a) Is the CHP 238D used to prepare the annual inventory listing for items from the CHP Supply Catalog?	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No	
(b) Is the DGS Material Services computer printout used to prepare the annual inventory listing for items ordered from the Material Services Supply Catalog?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	
(c) Are inventory listings, including inventory control cards, kept for a period of four years or until audited by Accounting Section's Materials Management Unit?	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No	
b. Are items stored properly in a storeroom?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	
(1) Is there convenient access for regularly used items?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	
(2) Have obsolete items been removed?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	
6. OTHER EQUIPMENT AND SUPPLIES	Evaluated <input checked="" type="checkbox"/>	Action Required <input type="checkbox"/>	Corrected <input type="checkbox"/>
a. Are all cameras assigned to the command accounted for?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	
(1) Are camera cases clean and do they contain the required accessories?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	
(2) Is camera maintenance assigned to a particular individual?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	

AREA MANAGEMENT EVALUATION
Chapter 5
OFFICE MANAGEMENT

(a) What is his/her preventative maintenance schedule? As needed

b. Are all extenders assigned to the command accounted for? ☒ Yes ☐ No

(1) Is there adequate security for extender batteries and other supplies? ☒ Yes ☐ No

7. OFFICE EQUIPMENT

Evaluated
☒

Action Required
☐

Corrected
☐

a. Are office machines in good condition and properly maintained? ☒ Yes ☐ No

(1) Is the vendor complying with maintenance contract provisions? ☒ Yes ☐ No

(2) Is there a shortage or surplus of machines? ☐ Yes ☒ No

b. Is the Management Information System (MIS) used properly? ☒ Yes ☐ No

(1) Who is authorized to use the equipment? All office personnel

(2) How is training provided, and by whom? Training is provided by the OSS I at time of hire and updated as needed.

(3) Is there a usage schedule for uniformed and nonuniformed personnel? ☐ Yes ☒ No

(4) Are there controls in place to ensure confidentiality? ☒ Yes ☐ No

(5) Are all personnel aware of how to request repairs after normal business hours? ☒ Yes ☐ No

(6) Is the MIS used to send messages to other offices in lieu of formal memorandums? ☐ Yes ☒ No

(7) What system is used to ensure proper routing of MIS information? Distributed from command staff to office staff

c. Are personal computers used properly? ☒ Yes ☐ No

(1) Who is authorized to use the equipment? All personnel

(2) How is training provided, and by whom? Annual training for CLETS, as needed training for all personnel depending on need.

(a) How many employees are trained in its use? All

(3) Are there restrictions on the time its used? ☐ Yes ☒ No

(a) Is there a schedule for uniformed and nonuniformed employees? ☐ Yes ☒ No

(4) Is confidential or sensitive information being stored on a PC hard disk? ☒ Yes ☐ No

(a) If so, is the PC password protected? ☒ Yes ☐ No

AREA MANAGEMENT EVALUATION

Chapter 5

OFFICE MANAGEMENT

(b) Is confidential or sensitive information stored on floppy disks kept in a secure area?

☐ Yes ☒ No

(5) What is the PC being used for? Accident reports, arrest reports, time keeping, memorandums, etc.

(6) Are controls present to prevent inappropriate/personal use of the computer?

☒ Yes ☐ No

(7) Are backup procedures being performed on a regular basis?

☒ Yes ☐ No

(a) Are backup disks stored in a secure area?

☒ Yes ☐ No

(8) Are PC manuals and other documentation available to all users?

☒ Yes ☐ No

(9) What procedures are in place to ensure out-of-date documents and files are purged? Automatic purging via the LAN system

(10) Are employees aware of the availability of assistance in resolving computer related problems?

☒ Yes ☐ No

(11) Is anti-virus software regularly utilized on all state-owned PCs?

☒ Yes ☐ No

8. ATTITUDE OF NONUNIFORMED EMPLOYEES

Evaluated
☒

Action Required
☐

Corrected
☐

a. Based on personal observation and discussion with staff, what is the attitude of nonuniformed personnel? They are happy.

b. What are the personal appearances of the nonuniformed employees? Professional and appropriate.

(1) Do employees interact well together?

☒ Yes ☐ No

c. What is the attitude of the members of the office staff toward their job responsibilities? Happy with their responsibilities, willing to help each other accomplish various tasks, and take their jobs seriously.

9. PUBLIC CONTACTS

Evaluated
☒

Action Required
☐

Corrected
☐

a. Does the office have extended office hours?

☐ Yes ☒ No

(1) If so, are they adequate and effective?

☐ Yes ☐ No

b. Are persons waited on promptly and courteously?

☒ Yes ☐ No

(1) Are backup personnel immediately available?

☒ Yes ☐ No

(2) Is telephone service both efficient and effective?

☒ Yes ☐ No

(3) Are limited duty personnel used for receptionist duties and answering telephones?

☒ Yes ☐ No

AREA MANAGEMENT EVALUATION

Chapter 5

OFFICE MANAGEMENT

(4) Are officer substitutions for nonuniformed positions kept at a minimum?

☒ Yes ☐ No

10. SCHOOL BUS DRIVER EXAMINATIONS

Evaluated
☒

Action Required
☐

Corrected
☐

a. Is school bus driver testing a special duty or a clerical function, or is a full-time school bus coordinator assigned? Special Duty

function (Officer Joe Vega - PIO)

(1) Are tests and test keys kept in a secure place?

☒ Yes ☐ No

(2) How are interested parties advised of testing procedures? At the beginning of the testing process the procedures are

reviewed with the applicants prior to testing.

(a) Are exams graded in the presence of the applicant, and missed questions discussed?

☒ Yes ☐ No

(b) Does the officer take possession of the test and dispose of accordingly?

☒ Yes ☐ No

(3) How are tests disposed of? Shredded immediately after being graded.

(4) Is there a specific date and time set aside for testing?

☒ Yes ☐ No

11. COURT INFORMATION PROCEDURES

Evaluated
☒

Action Required
☐

Corrected
☐

a. Is there a systematic method of coordinating court appearance matters?

☒ Yes ☐ No

(1) What controls are in place to ensure officers appear in court? Court officer follows up, provides a list to supervisors in

the event a court appearance was missed, supervisors follow up with officers to ensure all future court appearances are made.

(a) How are appearances minimized following cancellations? Court officer notifies the officers

(b) How are "short notice" cancellations minimized? Court officers is in constant contact with the court.

(2) Are CHP 90s properly distributed and completed on all appropriate cases?

☒ Yes ☐ No

(3) Who is responsible for managing the process? OSS I, supervisors, managers

(a) Are court officers performing duties that could be handled by clerical personnel?

☐ Yes ☒ No

AREA MANAGEMENT EVALUATION

Chapter 5

OFFICE MANAGEMENT

12. DEPARTMENTAL MANUALS	Evaluated <input checked="" type="checkbox"/>	Action Required <input type="checkbox"/>	Corrected <input type="checkbox"/>
a. Are the number of authorized libraries being maintained?			<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
(1) Are the libraries convenient for those who must use them?			<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
(a) What controls are in place for "loaning" manuals to employees? Manuals are not loaned to employees. Because all			
manuals are on line, employees can make digital copies of any manual they need and review the manual on their laptop			
computer.			
(2) Are publications distinctively marked so they can be readily identified?			<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
(a) Are the number of libraries excessive or sufficient? Sufficient			
(b) Is there a listing available of what should be in each library?			<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
(3) Are publications kept up-to-date?			<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
(4) Who files publication changes? WPT (Jessica Barrett)			

COMMENTS

AREA MANAGEMENT EVALUATION

OFFICE MANAGEMENT

CHP 453E (Rev. 5-06) OPI 009

AREA

DIVISION

NUMBER

Gilroy I. F.

Coastal

726-04-025

EVALUATED BY

DATE

M. O. Delancy

11/24/2009

INSTRUCTIONS: Indicate items reviewed by placing a check in the "Evaluated" box and/or the "Action Required" box. If this form is used as a Correction Report, the "Correction" box should be initialed and dated as deficiencies are corrected. Answer individual items with "yes" or "no" answers, or fill in the blanks as indicated. If additional comments are necessary, the information can be placed on the CHP 454, Area Management Evaluation Supplement. The Supplement should include significant findings, accomplishments or corrective actions, unresolved items, problems or progress, and the evaluator's overall impressions. This form can be completed in pen or pencil, and the Supplement can be handwritten if desired.

TYPE OF EVALUATION <input type="checkbox"/> Formal Evaluation <input checked="" type="checkbox"/> Informal Evaluation		SUSPENSE DATE	
FOLLOW-UP REQUIRED <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No		COMMANDER'S REVIEW <i>M.O. Delancy</i>	
<input type="checkbox"/> Correction Report BY		DATE 11-24-09	
1. CLERICAL TASKS		EVALUATED Yes	ACTION REQUIRED No

a. Is the office well organized?

☒ Yes ☐ No

(1) Are there written job descriptions?

☒ Yes ☐ No

(a) Does clerical staff have their job description at their desk?

☒ Yes ☐ No

(b) Does clerical staff understand what is expected of them?

☒ Yes ☐ No

(2) Are similar activities grouped together to promote efficiency?

☒ Yes ☐ No

(3) If tape recorders are used, can clerical employees transcribe effectively?

N/A

☐ Yes ☐ No

(4) Is the clerical staff knowledgeable in the use of personal computers, filing requirements, information security, etc.?

☒ Yes ☐ No

(5) Can another clerical employee assume the duties of a clerical employee who is absent?

☒ Yes ☐ No

b. Is the Office Services Supervisor (OSS) effective?

☒ Yes ☐ No

(1) Does he/she properly apply management philosophies and supervisory skills?

☒ Yes ☐ No

(a) Does he/she have the authority and backing necessary to effectively supervise subordinates?

☒ Yes ☐ No

(b) Is the clerical supervisor an effective manager?

☐ Yes ☐ No

(2) Does the OSS identify employees with supervisory potential?

☒ Yes ☐ No

(a) Does he/she assist employees in the preparation of written plans for progressive career development?

☒ Yes ☐ No

(b) Have special interests been identified and educational opportunities and/or departmental training been afforded the employees?

☒ Yes ☐ No

(c) Has the CHP 120, Individual Development Plan for Future Job Performance of Permanent Employee, been used to identify particular strengths of the employees?

☒ Yes ☐ No

(3) Does the supervisor set a

☒ Yes ☐ No

(a) Does he/she show a willingness to assist subordinate personnel?

☒ Yes ☐ No

(b) Does he/she know when to act, when to delegate, and when to refer to a supervisor?

☒ Yes ☐ No

(4) If there is more than one OSS, is the work and supervision evenly distributed?

☒ Yes ☐ No

(5) Does the OSS participate in Area staff meetings?

☒ Yes ☐ No

AREA MANAGEMENT EVALUATION**OFFICE MANAGEMENT**

CHP 453E (Rev. 5-06) OPI 009

2. FILING SYSTEM	EVALUATED Yes	ACTION REQUIRED No	CORRECTED
a. Is the Area's filing system in compliance with departmental guidelines contained in HPG 11.1, Field Office File Guide?			<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
b. Are other files, i.e., permanent files, enforcement document files, etc., maintained according to policy?			<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
(1) How far back are accident reports being maintained? N/A - Accident Reports are filed at Hollister-Gilroy Area			
(2) Is there a filing backlog?			<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No
(3) Is there evidence of recent office review?			<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
(4) How are Management and All Commanders Memorandums filed and purged? Maintained in annual binders and retained for 3 years.			
(5) Are Training and Information Bulletins filed?			<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
(a) If so, how are they located? Available in binders in supply room.			
(6) Do all clerical employees understand the filing system?			<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
(7) Does the Area have an effective suspense system?			<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
(a) Do all supervisors take advantage of the suspense system?			<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
c. Are personnel files properly secured and access limited?			<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
(1) Are the requirements of the Information Practices Act being followed?			<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
(2) Is a periodic review done on a regular basis?			<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
(a) If so, how often? Annually			
(3) Is annual employee review and updating conducted as required?			<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
(4) Are only required or permitted items contained in personnel folders?			<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
3. SECURITY OF CRIMINAL RECORDS	EVALUATED No - N/A	ACTION REQUIRED	CORRECTED
a. Have employees who have access to criminal offender record information signed an acknowledgment stating they understand the regulations and policies pertaining to these records?			<input type="checkbox"/> Yes <input type="checkbox"/> No
(1) Has the Area designated a specific person to release criminal offender record information?			<input type="checkbox"/> Yes <input type="checkbox"/> No
(a) Do any other persons release this information?			<input type="checkbox"/> Yes <input type="checkbox"/> No
(b) Has the designated person completed the required training?			<input type="checkbox"/> Yes <input type="checkbox"/> No
(c) Are safeguards in place to verify telephone inquiries prior to disclosure?			<input type="checkbox"/> Yes <input type="checkbox"/> No
(2) Does each person that is designated to release information maintain a CHP 263B, Criminal Offender Record Information Release Log?			<input type="checkbox"/> Yes <input type="checkbox"/> No
(a) Are entries maintained for the prescribed period of time?			<input type="checkbox"/> Yes <input type="checkbox"/> No
4. FISCAL PROCEDURES	EVALUATED Yes	ACTION REQUIRED No	CORRECTED
a. Have discrepancies on the most current audit reports been corrected?			<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No

AREA MANAGEMENT EVALUATION

OFFICE MANAGEMENT

CHP 453E (Rev. 5-06) OPI 009

(1) Are all change fund and collections handled and processed according to policy?

☒ Yes ☐ No

(a) Are counter receipts and DL45s, California Special Driver's Certificate, issued to the field accounted for and safeguarded?

☒ Yes ☐ No

(b) Are "voided" or "no fee" DL45s marked as such, signed by the commander, and forwarded to Fiscal Management Section?

N/A

☐ Yes ☐ No

(c) Is there a separation of duties between cashier responsibilities and transmittal of collections?

☐ Yes ☒ No

(d) Are collections and change funds safeguarded?

☒ Yes ☐ No

(e) Are checks promptly endorsed and cash receipts reconciled daily?

☒ Yes ☐ No

(f) Are counter receipts and DL45s that are issued in sequence accounted for and returned to Fiscal Management Section upon completion?

☒ Yes ☐ No

(g) What specific guidelines are in place for security control and accountability? All counter receipts are kept in a secure location.

GIF does not have a change fund as reports are not sold at this location. Only receipts issued are for civil witness fees.

(h) Is a supervisor responsible for review of the system?

☒ Yes ☐ No

(i) Do total collections agree with the total amount of counter receipts and DL45s issued?

☒ Yes ☐ No

(j) Are counter receipts and transmittal records prepared properly?

☒ Yes ☐ No

(k) Are surprise counts of funds performed and documented by the commander or designee?

N/A

☐ Yes ☐ No

(2) Are security and accountability procedures in place for the petty cash fund?

☒ Yes ☐ No

(a) Is the petty cash fund used only for authorized purchases within the limited amount?

☒ Yes ☐ No

(b) Are valid authorizations on file?

☒ Yes ☐ No

(c) Is a Disbursement Voucher (Std. 439) completed and signed by the commander when the receipt does not show the vendor name or item purchased?

☒ Yes ☐ No

(d) Are there adequate procedures to ensure purchases are properly authorized?

☒ Yes ☐ No

(e) Are surprise counts performed by someone not involved in handling the petty cash fund?

☒ Yes ☐ No

(3) Are X-Number services proper and within departmental and state policy?

☒ Yes ☐ No

(a) Are services procured over \$4,999.99?

☐ Yes ☒ No

(b) Is the amount limit circumvented by splitting procurements?

☐ Yes ☒ No

(c) Are three price quotations obtained and documented on a CHP 78X, X-Number Request?

☒ Yes ☐ No

(d) Do invoices itemize charges and reference X-Numbers?

☒ Yes ☐ No

(4) Are bank cards adequately safeguarded, and purchases reviewed by a supervisor?

☒ Yes ☐ No

(a) Are cardholders familiar with the bank card process, including prohibited and restricted items?

☒ Yes ☐ No

(b) Are purchases within established policy?

☒ Yes ☐ No

(c) Are three price quotations obtained and documented on a CHP 315X?

☒ Yes ☐ No

(d) Is the bank card log completed properly?

☒ Yes ☐ No

AREA MANAGEMENT EVALUATION OFFICE MANAGEMENT

CHP 453E (Rev. 5-06) OPI 009

(e) Are invoices and CHP 317, CAL-Card Log, reviewed by a supervisor?

☒ Yes ☐ No

(f) Is there a reconciliation of the monthly bank card statement, and does it have supervisory approval?

☒ Yes ☐ No

b. What controls does the commander have in place to ensure timely transmittals of monies? Commander review of the weekly transmittal and all civil subpoena/CHP 90 documentation.

(1) Are collections sent to Fiscal Management Section at the first occurrence of \$1,000 in cash and \$10,000 total collections, or at the close of business each Thursday?

☒ Yes ☐ No

(2) Are monies received for DL45s, California Special Driver's Certificate, asset forfeiture, reimbursables, evidence, etc., handled appropriately by coordinating transmittal with the Area cashier?

☒ Yes ☐ No

(3) Are "no collection" transmittals sent when appropriate?

☒ Yes ☐ No

(4) Do tire sale transactions comply with policy?

N/A ☐ Yes ☐ No

c. Is security of the postage machine adequate?

☒ Yes ☐ No

(1) Is the machine locked when not in use?

☒ Yes ☐ No

(2) Is the meter reading documented as required?

☒ Yes ☐ No

(3) Is there documentation of monies refunded or forwarded to Fiscal Management Section when the postage machine is being repaired or replaced?

☒ Yes ☐ No

5. SUPPLY REQUISITIONS (CHP 41)

EVALUATED
YesACTION REQUIRED
No

CORRECTED

a. Are requisitions prepared properly?

☒ Yes ☐ No

(1) Who prepares them? OSSI

(2) Has a practical stock level been established and maintained?

☒ Yes ☐ No

(3) Is there a system that notifies the staff when the quarterly requisition is going to be prepared?

☒ Yes ☐ No

(a) Is the quarterly requisition period for this command adhered to?

☒ Yes ☐ No

(b) Is there a high number of emergency requisitions?

☐ Yes ☒ No

b. Are items stored properly in a storeroom?

☒ Yes ☐ No

(1) Is there convenient access for regularly used items?

☒ Yes ☐ No

(2) Have obsolete items been removed?

☒ Yes ☐ No

6. SUPPLIES

EVALUATED
YesACTION REQUIRED
No

CORRECTED

a. Are all cameras assigned to the command accounted for?

☒ Yes ☐ No

(1) Are camera cases clean and do they contain the required accessories?

☒ Yes ☐ No

(2) Is camera maintenance assigned to a particular individual?

☒ Yes ☐ No

(a) What is his/her preventative maintenance schedule? None. Cameras are infrequently used and not in need of regular maintenance.

b. Are all extenders assigned to the command accounted for?

☒ Yes ☐ No

AREA MANAGEMENT EVALUATION

OFFICE MANAGEMENT

CHP 453E (Rev. 5-06) OPI 009

(1) Is there adequate security for extender batteries and other supplies?

☒ Yes ☐ No

7. OFFICE EQUIPMENT

EVALUATED

Yes

ACTION REQUIRED

No

CORRECTED

a. Are office machines in good condition and properly maintained?

☒ Yes ☐ No

(1) Is the vendor complying with maintenance contract provisions?

☒ Yes ☐ No

(2) Is there a shortage or surplus of machines?

☐ Yes ☒ No

b. Is the Management Information System (MIS) used properly?

☒ Yes ☐ No

(1) Who is authorized to use the equipment? Clerical staff, sergeants and lieutenant.

(2) How is training provided, and by whom? In-house training by OSSI.

(3) Is there a usage schedule for uniformed and nonuniformed personnel?

☐ Yes ☒ No

(4) Are there controls in place to ensure confidentiality?

☒ Yes ☐ No

(5) Are all personnel aware of how to request repairs after normal business hours?

☒ Yes ☐ No

(6) Is the MIS used to send messages to other offices in lieu of formal memorandums?

☒ Yes ☐ No

(7) What system is used to ensure proper routing of MIS information? Commander review.

c. Are personal computers used properly?

☒ Yes ☐ No

(1) Who is authorized to use the equipment? All employees.

(2) How is training provided, and by whom? New employees are given hands-on training at the Facility.

(a) How many employees are trained in its use? 46

(3) Are there restrictions on the time its used?

☐ Yes ☒ No

(a) Is there a schedule for uniformed and nonuniformed employees?

☐ Yes ☒ No

(4) Is confidential or sensitive information being stored on a PC hard drive?

☒ Yes ☐ No

(a) If so, is the PC password protected?

☒ Yes ☐ No

(b) Is confidential or sensitive information stored on disks, CDs, or removable drives kept in a secure area?

☒ Yes ☐ No

(5) What is the PC being used for? State business only.

(6) Are controls present to prevent inappropriate/personal use of the computer?

☒ Yes ☐ No

AREA MANAGEMENT EVALUATION**OFFICE MANAGEMENT**

CHP 453E (Rev. 5-06) OPI 009

(7) Are backup procedures being performed on a regular basis? ☒ Yes ☐ No(a) Where applicable, are backup disks stored in a secure area? ☒ Yes ☐ No(8) Are PC manuals and other documentation available to all users? ☒ Yes ☐ No

(9) What procedures are in place to ensure out-of-date documents and files are purged? Periodic review by LAN coordinator.

(10) Are employees aware of the availability of assistance in resolving computer related problems? ☒ Yes ☐ No(11) Is anti-virus software regularly utilized on all state-owned PCs? ☒ Yes ☐ No**8. PUBLIC CONTACTS**

EVALUATED

ACTION REQUIRED

CORRECTED

Yes

No

a. Does the office have extended office hours?

☒ Yes ☐ No

(1) If so, are they adequate and effective?

☒ Yes ☐ No

b. Are persons served promptly and courteously?

☒ Yes ☐ No

(1) Are backup personnel immediately available?

☒ Yes ☐ No

(2) Is telephone service both efficient and effective?

☒ Yes ☐ No

(3) Are limited duty personnel used for receptionist duties and answering telephones?

☒ Yes ☐ No

(4) Are officer substitutions for nonuniformed positions kept at a minimum?

☒ Yes ☐ No**9. SCHOOL BUS DRIVER EXAMINATIONS**

EVALUATED

ACTION REQUIRED

CORRECTED

No - N/A

a. Is school bus driver testing a special duty or a clerical function, or is a full-time school bus coordinator assigned?

(1) Are tests and test keys kept in a secure place?

☐ Yes ☐ No

(2) How are interested parties advised of testing procedures?

(a) Are exams graded in the presence of the applicant, and missed questions discussed?

☐ Yes ☐ No

(b) Does the officer or coordinator take possession of the test and dispose of accordingly?

☐ Yes ☐ No

(3) How are test disposed of?

(4) Is there a specific date and time set aside for testing?

☐ Yes ☐ No**10. COURT INFORMATION PROCEDURES**

EVALUATED

ACTION REQUIRED

CORRECTED

Yes

No

a. Is there a systematic method of coordinating court appearance matters?

☒ Yes ☐ No

L.I.N MAPLES 1/7/2010

STATE OF CALIFORNIA

DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

AREA MANAGEMENT EVALUATION

OFFICE MANAGEMENT

CHP 453E (Rev. 5-06) OPI 009

AREA	DIVISION	NUMBER
Templeton	Coastal	740
EVALUATED BY	DATE	
D. Aguilar, #11915	11/24/2009	

INSTRUCTIONS: Indicate items reviewed by placing a check in the "Evaluated" box and/or the "Action Required" box. If this form is used as a Correction Report, the "Correction" box should be initialed and dated as deficiencies are corrected. Answer individual items with "yes" or "no" answers, or fill in the blanks as indicated. If additional comments are necessary, the information can be placed on the CHP 454, Area Management Evaluation Supplement. The Supplement should include significant findings, accomplishments or corrective actions, unresolved items, problems or progress, and the evaluator's overall impressions. This form can be completed in pen or pencil, and the Supplement can be handwritten if desired.

TYPE OF EVALUATION <input type="checkbox"/> Formal Evaluation <input checked="" type="checkbox"/> Informal Evaluation		SUSPENSE DATE	
FOLLOW-UP REQUIRED <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No		COMMANDER'S REVIEW	DATE
BY		D. E. Aguilar, #11915	11/30/2009

1. CLERICAL TASKS

EVALUATED	ACTION REQUIRED	CORRECTED
D. Aguilar	None	N/A

a. Is the office well organized?	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
(1) Are there written job descriptions?	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
(a) Does clerical staff have their job description at their desk?	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
(b) Does clerical staff understand what is expected of them?	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
(2) Are similar activities grouped together to promote efficiency?	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
(3) If tape recorders are used, can clerical employees transcribe effectively?	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
(4) Is the clerical staff knowledgeable in the use of personal computers, filing requirements, information security, etc.?	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
(5) Can another clerical employee assume the duties of a clerical employee who is absent?	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
b. Is the Office Services Supervisor (OSS) effective?	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
(1) Does he/she properly apply management philosophies and supervisory skills?	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
(a) Does he/she have the authority and backing necessary to effectively supervise subordinates?	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
(b) Is the clerical supervisor an effective manager?	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
(2) Does the OSS identify employees with supervisory potential?	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
(a) Does he/she assist employees in the preparation of written plans for progressive career development?	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
(b) Have special interests been identified and educational opportunities and/or departmental training been afforded the employees?	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
(c) Has the CHP 120, Individual Development Plan for Future Job Performance of Permanent Employee, been used to identify particular strengths of the employees?	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
(3) Does the supervisor set a good example?	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
(a) Does he/she show a willingness to assist subordinate personnel?	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
(b) Does he/she know when to act, when to delegate, and when to refer to a supervisor?	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
(4) If there is more than one OSS, is the work and supervision evenly distributed?	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No
(5) Does the OSS participate in Area staff meetings?	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No

Destroy Previous Editions

AREA MANAGEMENT EVALUATION**OFFICE MANAGEMENT**

CHP 453E (Rev. 5-06) OPI 009

2. FILING SYSTEM	EVALUATED D. Aguilar	ACTION REQUIRED None	CORRECTED N/A
a. Is the Area's filing system in compliance with departmental guidelines contained in HPG 11.1, Field Office File Guide?			<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
b. Are other files, i.e., permanent files, enforcement document files, etc., maintained according to policy?			<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
(1) How far back are accident reports being maintained? Four years plus current.			
(2) Is there a filing backlog?			<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No
(3) Is there evidence of recent office review?			<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
(4) How are Management and All Commanders Memorandums filed and purged? They are filed in a binder and purged by expiration date.			
(5) Are Training and Information Bulletins filed?			<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
(a) If so, how are they located? In a binder.			
(6) Do all clerical employees understand the filing system?			<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
(7) Does the Area have an effective suspense system?			<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
(a) Do all supervisors take advantage of the suspense system?			<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
c. Are personnel files properly secured and access limited?			<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
(1) Are the requirements of the Information Practices Act being followed?			<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
(2) Is a periodic review done on a regular basis?			<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
(a) If so, how often? Annually.			
(3) Is annual employee review and updating conducted as required?			<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
(4) Are only required or permitted items contained in personnel folders?			<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
3. SECURITY OF CRIMINAL RECORDS	EVALUATED	ACTION REQUIRED	CORRECTED
a. Have employees who have access to criminal offender record information signed an acknowledgment stating they understand the regulations and policies pertaining to these records?			<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
(1) Has the Area designated a specific person to release criminal offender record information?			<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
(a) Do any other persons release this information?			<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No
(b) Has the designated person completed the required training?			<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
(c) Are safeguards in place to verify telephone inquiries prior to disclosure?			<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
(2) Does each person that is designated to release information maintain a CHP 263B, Criminal Offender Record Information Release Log?			<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
(a) Are entries maintained for the prescribed period of time?			<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
4. FISCAL PROCEDURES	EVALUATED D. Aguilar	ACTION REQUIRED None	CORRECTED N/A
a. Have discrepancies on the most current audit reports been corrected?			<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No

AREA MANAGEMENT EVALUATION**OFFICE MANAGEMENT**

CHP 453E (Rev. 5-06) OPI 009

(1) Are all change fund and collections handled and processed according to policy?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(a) Are counter receipts and DL45s, California Special Driver's Certificate, issued to the field accounted for and safeguarded?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(b) Are "voided" or "no fee" DL45s marked as such, signed by the commander, and forwarded to Fiscal Management Section?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(c) Is there a separation of duties between cashier responsibilities and transmittal of collections?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(d) Are collections and change funds safeguarded?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(e) Are checks promptly endorsed and cash receipts reconciled daily?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(f) Are counter receipts and DL45s that are issued in sequence accounted for and returned to Fiscal Management Section upon completion?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(g) What specific guidelines are in place for security control and accountability? The change fund and petty cash are locked in a desk drawer which the OSS-1 and OA have access to the key. The change fund and petty cash are reconciled each Friday when the transmittals are done.		
(h) Is a supervisor responsible for review of the system?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(i) Do total collections agree with the total amount of counter receipts and DL45s issued?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(j) Are counter receipts and transmittal records prepared properly?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(k) Are surprise counts of funds performed and documented by the commander or designee?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(2) Are security and accountability procedures in place for the petty cash fund?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(a) Is the petty cash fund used only for authorized purchases within the limited amount?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(b) Are valid authorizations on file?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(c) Is a Disbursement Voucher (Std. 439) completed and signed by the commander when the receipt does not show the vendor name or item purchased?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(d) Are there adequate procedures to ensure purchases are properly authorized?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(e) Are surprise counts performed by someone not involved in handling the petty cash fund?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(3) Are X-Number services proper and within departmental and state policy?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(a) Are services procured over \$4,999.99?	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No
(b) Is the amount limit circumvented by splitting procurements?	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No
(c) Are three price quotations obtained and documented on a CHP 78X, X-Number Request?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(d) Do invoices itemize charges and reference X-Numbers?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(4) Are bank cards adequately safeguarded, and purchases reviewed by a supervisor?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(a) Are cardholders familiar with the bank card process, including prohibited and restricted items?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(b) Are purchases within established policy?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(c) Are three price quotations obtained and documented on a CHP 315X?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(d) Is the bank card log completed properly?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No

AREA MANAGEMENT EVALUATION
OFFICE MANAGEMENT

CHP 453E (Rev. 5-06) OPI 009

(e) Are invoices and CHP 317, CAL-Card Log, reviewed by a supervisor? ☒ Yes ☐ No

(f) Is there a reconciliation of the monthly bank card statement, and does it have supervisory approval? ☒ Yes ☐ No

b. What controls does the commander have in place to ensure timely transmittals of monies? A weekly suspense.

(1) Are collections sent to Fiscal Management Section at the first occurrence of \$1,000 in cash and \$10,000 total collections, or at the close of business each Thursday? ☒ Yes ☐ No

(2) Are monies received for DL45s, California Special Driver's Certificate, asset forfeiture, reimbursables, evidence, etc., handled appropriately by coordinating transmittal with the Area cashier? ☒ Yes ☐ No

(3) Are "no collection" transmittals sent when appropriate? ☒ Yes ☐ No

(4) Do tire sale transactions comply with policy? ☒ Yes ☐ No

c. Is security of the postage machine adequate? ☒ Yes ☐ No

(1) Is the machine locked when not in use? ☒ Yes ☐ No

(2) Is the meter reading documented as required? ☒ Yes ☐ No

(3) Is there documentation of monies refunded or forwarded to Fiscal Management Section when the postage machine is being repaired or replaced? ☒ Yes ☐ No

5. SUPPLY REQUISITIONS (CHP 41)

EVALUATED
D. Aguilar

ACTION REQUIRED
None

CORRECTED
N/A

a. Are requisitions prepared properly? ☒ Yes ☐ No

(1) Who prepares them? The OA or OSS-I

(2) Has a practical stock level been established and maintained? ☒ Yes ☐ No

(3) Is there a system that notifies the staff when the quarterly requisition is going to be prepared? ☒ Yes ☐ No

(a) Is the quarterly requisition period for this command adhered to? ☒ Yes ☐ No

(b) Is there a high number of emergency requisitions? ☐ Yes ☒ No

b. Are items stored properly in a storeroom? ☒ Yes ☐ No

(1) Is there convenient access for regularly used items? ☒ Yes ☐ No

(2) Have obsolete items been removed? ☒ Yes ☐ No

6. SUPPLIES

EVALUATED
D. Aguilar

ACTION REQUIRED
None

CORRECTED
N/A

a. Are all cameras assigned to the command accounted for? ☒ Yes ☐ No

(1) Are camera cases clean and do they contain the required accessories? ☒ Yes ☐ No

(2) Is camera maintenance assigned to a particular individual? ☒ Yes ☐ No

(a) What is his/her preventative maintenance schedule? Periodic inspection on a monthly basis.

b. Are all extenders assigned to the command accounted for? ☒ Yes ☐ No

AREA MANAGEMENT EVALUATION

OFFICE MANAGEMENT

CHP 453E (Rev. 5-06) OPI 009

(1) Is there adequate security for extender batteries and other supplies?			<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
7. OFFICE EQUIPMENT	EVALUATED	ACTION REQUIRED	CORRECTED	
	D. Aguilar	None	N/A	
a. Are office machines in good condition and properly maintained?			<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(1) Is the vendor complying with maintenance contract provisions?			<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(2) Is there a shortage or surplus of machines?			<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
b. Is the Management Information System (MIS) used properly?			<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(1) Who is authorized to use the equipment? All CLETS trained employees.				
(2) How is training provided, and by whom? Training is provided online by the department.				
(3) Is there a usage schedule for uniformed and nonuniformed personnel?			<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No
(4) Are there controls in place to ensure confidentiality?			<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(5) Are all personnel aware of how to request repairs after normal business hours?			<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(6) Is the MIS used to send messages to other offices in lieu of formal memorandums?			<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No
(7) What system is used to ensure proper routing of MIS information? AMIS				
c. Are personal computers used properly?			<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(1) Who is authorized to use the equipment? Properly trained employees both uniformed and non-uniformed.				
(2) How is training provided, and by whom? Area LAN coordinator by scheduled appointment.				
(a) How many employees are trained in its use? 30				
(3) Are there restrictions on the time its used?			<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No
(a) Is there a schedule for uniformed and nonuniformed employees?			<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No
(4) Is confidential or sensitive information being stored on a PC hard drive?			<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No
(a) If so, is the PC password protected?			<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No
(b) Is confidential or sensitive information stored on disks, CDs, or removable drives kept in a secure area?			<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(5) What is the PC being used for? Report writing, timekeeping, messaging, general office work.				
(6) Are controls present to prevent inappropriate/personal use of the computer?			<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No

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(1) What controls are in place to ensure officers appear in court? Subpoena service tracking log. Periodic sergeant observation at the court. Court disposition notifications are sent by court.

(a) How are appearances minimized following cancellations? Efficient notification of the employee by clerical staff.

(b) How are "short notice" cancellations minimized? Efficient notification of the employee by clerical staff.

(2) Are CHP 90s, Report of Court Appearance - Civil Action, properly distributed and completed on all appropriate cases?

☒ Yes ☐ No

(3) Who is responsible for managing the process? OSSJ

(a) Are court officers performing duties that could be handled by clerical personnel?

☐ Yes ☒ No

11. DEPARTMENTAL MANUALS

EVALUATED

Yes

ACTION REQUIRED

No

CORRECTED

a. Are the number of authorized libraries being maintained?

☒ Yes ☐ No

(1) Are the libraries convenient for those who must use them?

☒ Yes ☐ No

(a) What controls are in place for "loaning" manuals to employees? N/A - available on-line.

(2) Are publications distinctively marked so they can be readily identified?

☒ Yes ☐ No

(a) Are the number of libraries excessive or sufficient? Only one for the command, which is sufficient.

(b) Is there a listing available of what should be in each library?

☒ Yes ☐ No

(3) Are publications kept up-to-date?

☒ Yes ☐ No

(4) Who files publication changes? Lieutenant

AREA MANAGEMENT EVALUATION**OFFICE MANAGEMENT**

CHP 453E (Rev. 5-06) OPI 009

(7) Are backup procedures being performed on a regular basis? ☒ Yes ☐ No(a) Where applicable, are backup disks stored in a secure area? ☒ Yes ☐ No(8) Are PC manuals and other documentation available to all users? ☒ Yes ☐ No

(9) What procedures are in place to ensure out-of-date documents and files are purged?

LAN Coordinator purges necessary files.

(10) Are employees aware of the availability of assistance in resolving computer related problems? ☒ Yes ☐ No(11) Is anti-virus software regularly utilized on all state-owned PCs? ☒ Yes ☐ No**8. PUBLIC CONTACTS**

EVALUATED

D. Aguilar

ACTION REQUIRED

None

CORRECTED

N/A

a. Does the office have extended office hours? ☐ Yes ☒ No(1) If so, are they adequate and effective? ☐ Yes ☒ Nob. Are persons served promptly and courteously? ☒ Yes ☐ No(1) Are backup personnel immediately available? ☒ Yes ☐ No(2) Is telephone service both efficient and effective? ☒ Yes ☐ No(3) Are limited duty personnel used for receptionist duties and answering telephones? ☒ Yes ☐ No(4) Are officer substitutions for nonuniformed positions kept at a minimum? ☒ Yes ☐ No**9. SCHOOL BUS DRIVER EXAMINATIONS**

EVALUATED

D. Aguilar

ACTION REQUIRED

None

CORRECTED

N/A

a. Is school bus driver testing a special duty or a clerical function, or is a full-time school bus coordinator assigned? Special Duty function.

(1) Are tests and test keys kept in a secure place? ☒ Yes ☐ No

(2) How are interested parties advised of testing procedures? Officer has orientation at the start of school bus classes and the procedure is also explained as the test is given.

(a) Are exams graded in the presence of the applicant, and missed questions discussed? ☒ Yes ☐ No(b) Does the officer or coordinator take possession of the test and dispose of accordingly? ☒ Yes ☐ No

(3) How are test disposed of? Shredded locally.

(4) Is there a specific date and time set aside for testing? ☒ Yes ☐ No**10. COURT INFORMATION PROCEDURES**

EVALUATED

D. Aguilar

ACTION REQUIRED

None

CORRECTED

N/A

a. Is there a systematic method of coordinating court appearance matters? ☒ Yes ☐ No

AREA MANAGEMENT EVALUATION**OFFICE MANAGEMENT**

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(1) What controls are in place to ensure officers appear in court? All subpoenas are logged in a subpoena computer database. The original copies of the subpoena are given to the officers for services. Sergeants will serve the subpoena, the officers will sign and date the subpoena and then give to the subpoena clerk for filing.

(a) How are appearances minimized following cancellations? If the cancellation is received, information will be logged in the subpoena database and a copy is printed to be given to the officer for cancellation. If the cancellation is received while the officer is on vacation or RDO's, notification will be made telephonically by clerical staff or court officer.

(b) How are "short notice" cancellations minimized? Clerical staff contacts the court days prior to the court case.

(2) Are CHP 90s, Report of Court Appearance - Civil Action, properly distributed and completed on all appropriate cases?

☒ Yes ☐ No

(3) Who is responsible for managing the process? OSS-I or OA.

(a) Are court officers performing duties that could be handled by clerical personnel?

☐ Yes ☒ No

11. DEPARTMENTAL MANUALS

EVALUATED

D. Aguilar

ACTION REQUIRED

None

CORRECTED

N/A

a. Are the number of authorized libraries being maintained?

☒ Yes ☐ No

(1) Are the libraries convenient for those who must use them?

☒ Yes ☐ No

(a) What controls are in place for "loaning" manuals to employees? None. No manuals are loaned out.

(2) Are publications distinctively marked so they can be readily identified?

☒ Yes ☐ No

(a) Are the number of libraries excessive or sufficient? Sufficient.

(b) Is there a listing available of what should be in each library?

☒ Yes ☐ No

(3) Are publications kept up-to-date?

☒ Yes ☐ No

(4) Who files publication changes? The OA.